

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE
REQUEST FOR FILING NATIONAL PATENT APPLICATION

Under 35 USC 111(a) and Rule 53(b)

PATENT APPLICATION

Hon. Commissioner of Patents
Washington, D.C. 20231WITH SIGNED DECLARATIONNONPROVISIONAL
NON REISSUE
NON PCT NAT PHASE

00909



Sir:

Herewith is the PATENT APPLICATION of
Inventor(s): LIPSCHUTZ, et al.

Title INTEREST DETERMINATION SYSTEM AND METHOD

Atty. Dkt.: P 283029

M#

Client Ref

including:

Date: December 20, 2001

1. Specification: 39 pages (only spec. and claims) 2. ☐ Specification in non-English language
3. Declaration ☒ Original ☐ Facsimile/Copy ☒ Abstract 1 page(s); 20 numbered claims
4. ☒ Drawings: 37 sheet(s) ☐ informal; ☒ formal of size: ☒ A4 ☐ 11"
5. ☐ See top first page re prior Provisional, National or International application(s). ("X" box only if info is there and do not complete item 6 or 7). (Prior M# _____ SN _____)
6. This application claims benefit of the following prior US application(s), the contents of which are incorporated into this application by this reference:

No. / filed _____No. / filed _____No. / filed _____No. PCT / filed _____designated the US and that International Application ☐ was ☐ was not published under PCT Article 21(2) in English

7. ☐ See the attached Preliminary Amendment, which amends the specification to claim benefit of the above listed US application(s)

- ✓ 8. ☒ Attached is an assignment and cover sheet. Please return the recorded assignment to the undersigned.

9. ☒ Assignee (optional): UBS PaineWebber Inc.

Address 1200 Harbor Boulevard, 10th Floor, Weehawken, New Jersey, 07087

10. **FOREIGN** priority is claimed under 35 USC 119(a)-(d)/365(b) based on filing in _____

11. _____ (country)

Application No.	Filing Date	Application No.	Filing Date
(1)		(2)	
(3)		(4)	
(5)		(6)	
(7)		(8)	
(9)		<input type="checkbox"/> See 3 rd page for additional priorities	

12. _____ (No.) Certified copy (copies): ☐ attached; ☐ previously filed (date) _____
in U.S. Application No. / filed on _____

13. Small entity status ☒ is **not** claimed; ☐ is claimed (**Pre-filing confirmation required**)

- 13(a) ☐ Attached: _____ (No.) Small Entity Statement(s) (since 9/8/00 small entity statement(s) **not essential** to make claim)

- 13(b) ☐ See **NONPUBLICATION REQUEST** under Rule 213(a) attached (Pat-258)

14. **DOMESTIC/INTERNATIONAL** priority is claimed under 35 USC 119(e)/120/365(c) based on the following provisional, nonprovisional and/or PCT international application(s):

Application No.	Filing Date	Application No.	Filing Date
(1)		(4)	
(2)		(5)	
(3)		(6)	

15. ☐ This application is being filed under Rule 53(b)(2) since an inventor is named in the enclosed Declaration who was not named in the prior application.

16. ☐ Attached:

17. ☐ Preliminary Amendment:

THE FOLLOWING FILING FEE IS BASED ON CLAIMS AS FILED LESS ANY ABOVE CANCELLED

				Large/Small Entity		Fee Code
18. Basic Filing Fee				\$740/\$370	\$740	101/201
19. Total Effective Claims	20	minus 20 =	*0	x \$18/\$9 =	+ 0	103/203
20. Independent Claims	1	minus 3 =	*0	x \$84/\$42 =	+ 0	102/202
*If answer is zero or less, enter "0"						
24. If any proper multiple dependent claim (ignore improper) is present, add (Leave this line blank if this is a reissue application)				+ \$280/\$140	+ 0	104/204
TOTAL FILING FEE ENCLOSED =					\$740	
23. If "non-English" box 2 is X'd, add Rule 17(k) processing fee				+ \$130	+ 0	139
24. If "assignment" box 8 is X'd, add recording fee				+ \$40	+ 40	581
25. <input type="checkbox"/> Attached is a Petition/Fee under Rule No.				+ \$130	+ 0	122
TOTAL FEE ENCLOSED =					\$780	

Our Deposit Account No. 03-3975

Our Order No. 082086

C#

0283029

M#



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CHARGE STATEMENT: The Commissioner is hereby authorized to charge any fee specifically authorized hereafter, or any missing or insufficient fee(s) filed, or asserted to be filed, or which should have been filed herewith or concerning any paper filed hereafter, and which may be required under Rules 16-18 (missing or insufficient fee only) now or hereafter relative to this application and the resulting Official document under Rule 20, or credit any overpayment, to our Account/Order Nos. shown above for which purpose a duplicate copy of this sheet is attached.

This **CHARGE STATEMENT** does not authorize charge of the issue fee until/unless an issue fee transmittal form is filed.

Pillsbury Winthrop LLP
Intellectual Property Group

By Atty: Christine H. McCarthy

Reg. No. 41844

Sig:

Fax: (703) 905-2500
Tel: (703) 905-2143

Atty/Sec: CHM/EED

NOTE: File in duplicate with 2 post card receipts (PAT-103) & attachments